



Delaware Department of Transportation

**REQUEST FOR PROPOSALS
PROFESSIONAL SERVICES**



RFP Number: **1850**

RFP Name: **AUDIT SERVICES**

Submission Due Date/Time: **Thursday, June 29, 2017 at 2:00 P.M. Local Time**

Three (3) year Term with two (2) possible one (1) year extensions

Agreement Type: IDIQ

One (1) agreement may be awarded from this solicitation.

State funds will be used for this agreement.

The anticipated method of payment is specific rate of compensation.

29 Del.C. §6981

PROJECT INFORMATION

This Request for Proposal (RFP) issued by the Delaware Department of Transportation is for the purpose of acquiring proposals from interested firms to provide support for Auditing Services.

PROFESSIONAL SERVICES REQUIRED

Certified Public Accountant (CPA) or Public Accountant licensed to practice in the State of Delaware by the Division of Professional Regulation, Board of Accountancy

PROJECT DESCRIPTION

The firm must demonstrate knowledge, skill and abilities in the following areas:

- Meet independence standards of the American Institute of Certified Public Accountants (AICPA) and Government Auditing Standards
- Experience in independent financial and compliance audits of government entities
- Participate in continuing professional education programs and in a peer review program that includes reviews of performance of government audits
- Have available an adequate number of appropriately qualified staff and other resources to meet workload and delivery date requirements
- Have experience working in an electronic work paper environment
- Personnel able to serve in leadership and functional specialist roles on the audit (e.g., computer audit, statistical audit)
- Staff will be required to work at the DelDOT Administration Building for certain tasks.
- Audit engagement, planning, and management
- Obtaining information from and about the auditee
- Understanding the auditee's system of internal control
- Assessing control risk and developing the audit strategy
- Confirming the assessment of control risk by performing tests of controls

- Developing audit programs
- Formulating the audit report and communicating findings

Work assigned on this agreement will be detailed in an annual audit plan. The selected firm will prepare a specific proposal for each annual audit plan including a work plan, cost proposal, and schedule to be approved by the Department. Any changes in essential project management personnel shall be immediately brought to the attention of the Department's project manager.

A monthly invoice will be provided by the selected firm, indicating the number of hours worked for each staff member. The selected firm will provide a risk assessment, audit memorandum and/or audit report for each assignment on the annual audit plan.

QUESTIONS

Questions are to be submitted to DOT.Profservices@state.de.us. In order to ensure a timely response, questions must be submitted at least ten (10) business days before the Proposal due date. The Department's response to questions, along with this RFP and related information, are posted on the State of Delaware Bid Solicitation Directory Website: <http://www.bids.delaware.gov/>.

PROCUREMENT SCHEDULE

Action Item	Date	Time
Deadline for Questions to ensure response:	Ten (10) business days prior to the proposal due date	2:00 P.M. Local Time
Final Response to Questions posted by:	Five (5) business days prior to the proposal due date	2:00 P.M. Local Time
Proposals Due by:*	Thursday, June 29, 2017	2:00 P.M. Local Time

NOTE: Only asterisk (*) marked date changes will be communicated (via posted Addendums).

PROPOSAL REQUIREMENTS

Interested firms must submit the material required herein or they may not be considered for the project:

1. **Proposals must be received prior to the Submission due date and time** indicated above.

Facsimile and E-mail responses to this RFP are not acceptable. No response hand-delivered or otherwise will be accepted after the above date and time. It is the responsibility of the submitter to ensure the Proposal is received on time. DelDOT's time is considered the official time for determining the cut-off for accepting submissions. To be considered for this agreement, firms must submit the Proposal as set forth herein. Any variation, including additions, may negatively impact the scoring.

Proposals are to be delivered to:

Contract Administration – RFP 1850
 Delaware Department of Transportation
 800 Bay Road
 Dover, DE 19901

Should the office be closed at the time responses are due (such as an unexpected event or inclement weather) the submission due date shall be the following business day, at the time originally scheduled.

2. **Submit one (1) original and five (5) hard copies** of the Proposal. Receipt of insufficient copies or non-compliance with providing the requested information in the desired format, may negatively impact the scoring.
3. **Submit two (2) pdf format electronic copies** (e.g. CD, flash drive) of the Proposal; one original and one a redacted copy. The original must be a .pdf file of the original signed proposal as submitted and should be clearly marked “Original”. The redacted copy must be a .pdf file of the original signed proposal with any proprietary or confidential information redacted, and this copy should be clearly marked as “Redacted”. Electronic copies are to be submitted with the printed Proposal. The electronic redacted copy is required even if the submission contains no proprietary or confidential information.

Firms should review Delaware’s Freedom of Information Regulations on the DelDOT Website <http://www.deldot.gov>, and Section 10002(l) “Public record” of the Delaware Code, <http://delcode.delaware.gov/title29/c100/index.shtml> to determine what information may be considered proprietary or confidential and may be redacted from their SOQ.

4. **Proposals submitted for this solicitation should include the sections listed below** and should be tabbed and collated in the following order in to be considered for selection:

A. Table of Contents

Table of Contents - Limited to One (1) page

B. Letter of Interest

Letter of Interest - Limited to two (2) pages and must indicate the following:

- (1) An understanding of the anticipated assignments, services required, and approach to providing the services required.
- (2) Identify who the proposed project manager will be and what office location they will be working from.
- (3) The location, size, and description of the firm.
- (4) Availability of personnel for immediate placement.
- (5) Sub-consultant usage if anticipated. Indicate the percentage of work estimated to be performed by the sub vs. the prime. Also, indicate if the prime consultant has previously worked with the proposed sub and give a brief example of the previous relationship(s).
- (6) The Prime/Lead consultant must indicate the present workload either as a Prime Consultant or a Sub-Consultant with the Delaware Department of Transportation by Location, Agreement Number, total paid-to-date, and the amount still available for use on the project(s). Also, include the estimated date of completion. If possible, include the estimated fees for any Delaware DOT projects for which your firm has been selected and does not have an executed agreement in place.
- (7) Provide a listing of contracts with DelDOT for the past five (5) years. Clearly indicate if your firm has not been short listed for a DelDOT project within the past five (5) years.
- (8) Additional information limited to 1-single sided sheet of paper.

C. Project Organization Chart

Project Organization Chart, limited to one (1) page.

D. Resumes of Key Personnel

Include up to eight (8) resumes that include qualifications for the key personnel that are offered to

support the work related to this agreement. Resumes are limited to one (1) page.

E. References

Provide a list of references who have personal knowledge of the prime consultant's and the sub-consultant's previous performance. Provide three (3) client references each for both the prime and the sub-consultant(s). The references must include verified addresses and telephone numbers, contact persons, and a brief description of services that have been provided similar to those described by the Department for this project. References shall be shown on separate sheets (limited to one (1) single-sided sheet; one sheet for the prime and one sheet for each sub proposed). These shall not be included in the six (6) page Letter of Interest.

4. **Joint venture** submissions will not be considered.
5. **DelDOT reserves the right to reject** any and all submissions. Submissions become property of the Department and shall be retained electronically for a minimum period of three (3) years from the date of receipt. DelDOT reserves the right to any and all ideas included in this response without incurring any obligations to the responding firms or committing to procurement of the proposed services.
6. **Required Certification Forms.** All firms responding to the RFP must complete and return the submission forms located in 'Appendix A' of this document.

No promotional materials or brochures are to be included as part of the submission.

RATING CRITERIA

#	Criteria Description	Weight
1	Availability of personnel for immediate placement at the Department of Transportation Administration Building.	30 %
2	An understanding of the anticipated assignments, services required & approach to providing the services required.	30 %
3	Experience working with electronic work papers.	20 %
4	Experience conducting audits in a governmental environment.	20 %
TOTAL :		100%

OVERVIEW OF SELECTION PROCESS – IDIQ

- This is an indefinite delivery/ indefinite quantity agreement utilized for the performance of services for a number of projects under task orders issued on an as-needed basis.
- This is a single phase solicitation process with the availability for discussions with three (3) of the most highly qualified firms. Based upon the listed criteria and evaluation of each firm's submitted proposal, the Selection Committee may decide if a small sample task and/or discussions will be held with the most highly qualified consultants. If discussions are held, they will serve to clarify the technical approach, qualifications, and capabilities provided in response to the RFP, after which the committee will determine the ranking of the candidate firms.
- Selection Committee members will individually score each firm's submitted proposal which determines individual ranking. The Department's ranking is the combined ranking of all Committee members. Awarded firms, in order of ranking, will have the opportunity to negotiate an agreement with the Department. If the Department cannot reach agreement with the highest ranked firm(s), the Department terminates negotiations and begins negotiations with the next highest ranked firm, and so on until an agreement is reached. The Department notifies via email the awarded firm(s) of the opportunity to enter into an agreement with the Department. This notification also includes information on the next steps for

the agreement process.

- Shortlist and Selection Committee membership appointments are confidential. The Department's Professional Services Procurement Manual may be viewed [here](#).

BACKGROUND CHECKS

The Department of Technology and Information (DTI) is committed to safeguarding the State's information assets against unauthorized use, damage, and loss. DTI requires all employees (full time, consolidated, part time, casual/seasonal, and temporary), contractors and vendors to pass a criminal background check completed by an authorized entity. The outcome of these checks determines hiring approval, system and facility access at DTI. If criminal history reports are not provided within the first 90 days in order for DTI to determine final security clearance, employment/contract may be terminated.

As a general policy, DTI does not provide clearance to any person who has been convicted of a felony or class A misdemeanor. DTI retains discretion regarding convictions for offenses other than felonies or class A misdemeanors. Exceptions may be made upon review of extenuating circumstances, such as the length of time since the last conviction. In these instances, a case-by-case evaluation is made by the DTI Chief Security Officer.

DTI retains the right to run random checks on active employees, contractors, and vendors and terminate employment when the findings are in violation of this policy. Checks also may be run at the request of the Chief Information Officer.

For returning employees and contractors, if the last background check was completed more than twelve (12) months ago, a full background check is required with new fingerprints. If the last background check was conducted less than twelve (12) months ago, a background check with the existing fingerprints on file can be performed.

MISCELLANEOUS

The Department is not liable for any cost incurred by the consultant in the preparation or presentation of the Proposal.

Any individual, business, organization, corporation, consortium, partnership, joint venture, or any other entity including subconsultants currently debarred or suspended is ineligible to participate as a candidate for this process. Any entity ineligible to conduct business in the State of Delaware for any reason is ineligible to respond to the RFP.

The Department of Transportation will affirmatively insure individuals and businesses will not be discriminated against on the grounds of race, creed, color, sex, or national origin in consideration for an award. Minority business enterprises will be afforded full opportunity to submit bids/proposals in response to this invitation.

Department of Transportation
State of Delaware
By: Jennifer Cohan
Secretary
Dover, DE

Appendix A - REQUIRED FORMS

The following completed forms are required to be returned with each proposal:

- Certification of Eligibility
- Certificate Of Non-Collusion
- Certification Of Primary Participant Regarding Debarment, Suspension, And Other Responsibility Matters
- Certification Of Restrictions On Lobbying

CERTIFICATION OF ELIGIBILITY
Delaware Department of Transportation
Request for Proposal 1850 - AUDIT SERVICES

Attention: Contract Administration – RFP 1850
Delaware Department of Transportation
800 Bay Road
Dover, DE 19901

We have read the Request for Proposal and fully understand the intent of the RFP as stated, certify that we have adequate personnel and knowledge to fulfill the requirements thereof, and agree to furnish such services in accordance with the contract documents as indicated should we be awarded the contract.

_____ hereby certifies that it is not included on the United States Comptroller General's Consolidated List of Persons or Firms Currently Debarred for Violations of Various Public Contracts Incorporating Labor Standard Provisions.

_____ Signature of the Bidder or Offeror's Authorized Official

_____ Name and Title of the Bidder or Offeror's Authorized Official

_____ Date

Sworn and subscribed before me this _____ day of _____, 20____

Notary Public

My commission expires: _____ / _____ / 20____
Month Day Year

CERTIFICATE OF NON-COLLUSION

By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid, each party thereto certifies as to its own organization, under penalty of perjury, that to the best of knowledge and belief:

- 1) The prices in this bid have been arrived at independently without collusion, consultation, communication, or agreement for the purpose of restricting to such prices, with any other bidder or with any competitor;
- 2) Unless otherwise required by law, the prices which have been quoted in this bid have not been knowingly disclosed by the Bidder and will not knowingly be disclosed by the Bidder prior to opening, directly or indirectly, to any other bidder or to any competitor; and
- 3) No attempt has been made or will be made by the Bidder to induce any other person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition.

_____ Signature of the Bidder or Offeror's Authorized Official

_____ Name and Title of the Bidder or Offeror's Authorized Official

_____ Date

Sworn and subscribed before me this _____ day of _____, 20____

_____ My commission expires: _____ / _____ / 20____
Notary Public Month Day Year